# Inspections

# Inspections:
# Relevance for an Army at War

- **256,000 Soldiers in 120 countries around the world.**
- **95,000 National Guard and 50,000 Army Reserve Soldiers on active duty.**
- **A Division's worth of Soldiers currently support Homeland Security Missions.**
- **Global War on Terrorism = Protracted War.**

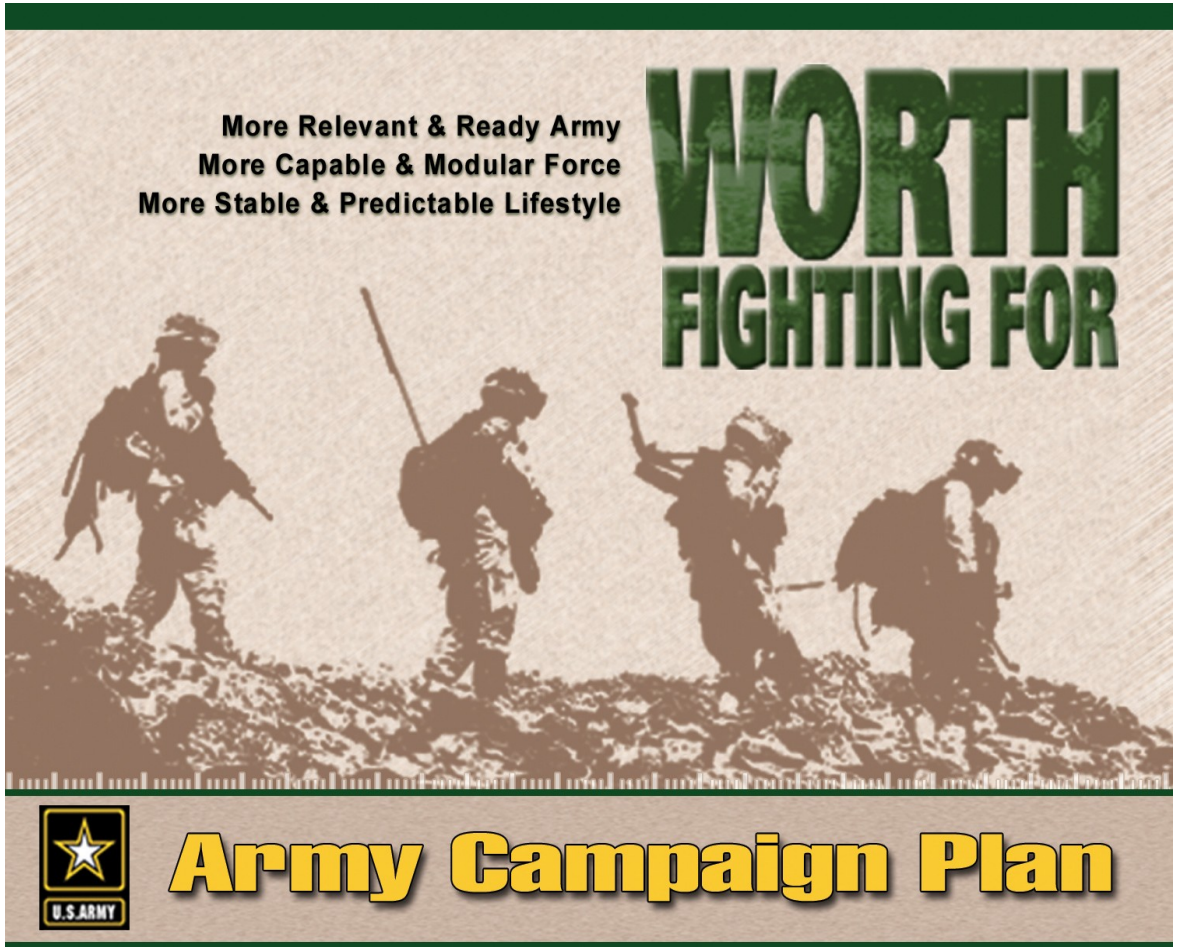
# Inspections: Relevance for a Changing Army

*Inspections*

***Modular***

***Rebalanced***

***Stabilized***



# References

- **Army Regulation 1-201, Army Inspection Policy**
- **Army Regulation 20-1, Inspector General Activities and Procedures**
- **Army Regulation 381-10, U.S. Army Intelligence Activities**
- **The Inspections Guide**
- **The Intelligence Oversight Guide**
- **Student Text 2, Advance Sheets**
- **Student Text 3, Fort Von Steuben / 66th Infantry Division**
- **Inspections Table Group Chart (Hand-out)**

# Inspections Training Schedule

**Day 2 (Tuesday)**

- **0800-1000** **Inspection Principles and Organizational Inspection Program (OIP)**
- **1000-1600** **Inspections Process**

**Day 3 (Wednesday)**

- **0800-1500** **Inspections Process**
- **1500-1530** **Intelligence Oversight**
- **1530-1600** **DAIG Intelligence Oversight**

# Inspections Training Schedule

**(continued)**

*Inspections*

**Day 4 (Thursday)**

- **0800-1100 Inspections Process**
- **1200-1300 Interview Practical Exercise**
- **1300-1400 Sensing-Session Practical Exercise**
- **1400-1600 IPR Practical Exercise**

**Issue Graded Homework (Practical Exercise 10) (due on Day 6 at 0800)**

**Day 5 (Friday)**

- **0800-0830 Inspections Quiz**
- **0830-0845 Inspections Quiz Review**

**Day 12 – 14 (Week 3)**

**Inspections Extended Practical Exercise**

# Basic Ground Rules

- **Please ask questions relevant to the topic of Inspections.**
- **Please avoid sidebar discussions during the instruction.**
- **Please avoid personal internet / email use during class time and practical exercises.**
- **We start on time.**

# Enabling Learning Objectives (ELOs)

**Reference: Student Text (ST) 2**

**Pages 7 through 9**

**Questions for the Inspections Quiz and the Final Exam will come directly from the ELOs!**

# ELOs

ELO

1. **Describe the purpose of the Organizational Inspection Program (OIP).**

2. **Identify the three inspection categories (Command, Staff, and IG).**

3. **Describe the IG's role in the OIP.**

4. **Identify the battalion as the basic building block of the OIP.**

# ELOs (continued)

ELO

5. Define the following terms:
   - Inspection
   - Standard
   - Initial Command Inspection (ICI)
   - Subsequent Command Inspection (SCI)
   - Root Cause
   - In-Process Review (IPR)
   - Crosswalk
   - Handoff

# ELOs (continued)

ELO

6. **Describe the three phases of the Inspections Process (Preparation, Execution, Completion).**
7. **Identify who may direct an IG Inspection.**
8. **Identify the five information-gathering domains:**
   - **Interviews**
   - **Sensing Sessions**
   - **Document Review**
   - **Observation**
   - **Surveys / Questionnaires**

# ELOs (continued)

ELO

9. **Describe the Root-Cause Analysis model.**

10. **Identify the five parts of the recommended findings section format.**

    - **Finding Statement**
    - **Standard**
    - **Inspection Results (Discussion)**
    - **Root Cause**
    - **Recommendation (s)**

# ELOs (continued)

ELO

11. **Describe the impact of the rules of IG records on IG Inspection Reports.**

12. **Describe the nature of Compressed IG Inspections.**

13. **Apply the three-phase, 17-step Inspections Process.**

14. **Apply the Root-Cause Analysis Model.**

15. **Complete the findings section using the appropriate information.**

*Inspections*

# Table Group

- **Your table group represents the Fort Von Steuben Inspector General (IG) shop's Inspections Branch for the purposes of all Practical Exercises.**

- **Refer to page 12 of Student Text 3, Fort Von Steuben, for a diagram of the IG office.**

- **Become familiar with Fort Von Steuben and the 66th Infantry Division (Mechanized).**

- **Refer to the Inspections Table Group Chart for Practical-Exercise leadership assignments.**

# Definition of an Inspection

ELO

**"An evaluation that measures performance against a standard and that should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs."**

ELO

**AR 1-201, Glossary; The Inspections Guide, Section 2-2, page 2-2-1**

**A standard is the way things should be.**

U.S. Army Inspector

# Searching for Standards

## *Use the Internet*

- **Army Publishing Directorate (APD)**

http://www.apd.army.mil/

- **Army G-1 (Pentagon)**

http://www.armyg1.army.mil/

- **Department of Defense Directives**

http://www.dtic.mil/whs/directives/

- **National Guard Bureau**

http://www.ngbpdc.ngb.army.mil/

**Know the proponent for each regulation to fix responsibility, and check the applicability of the regulation. *Does the regulation apply to everyone in the Army?***

# Army Inspection Policy

## *Army Regulation 1-201*

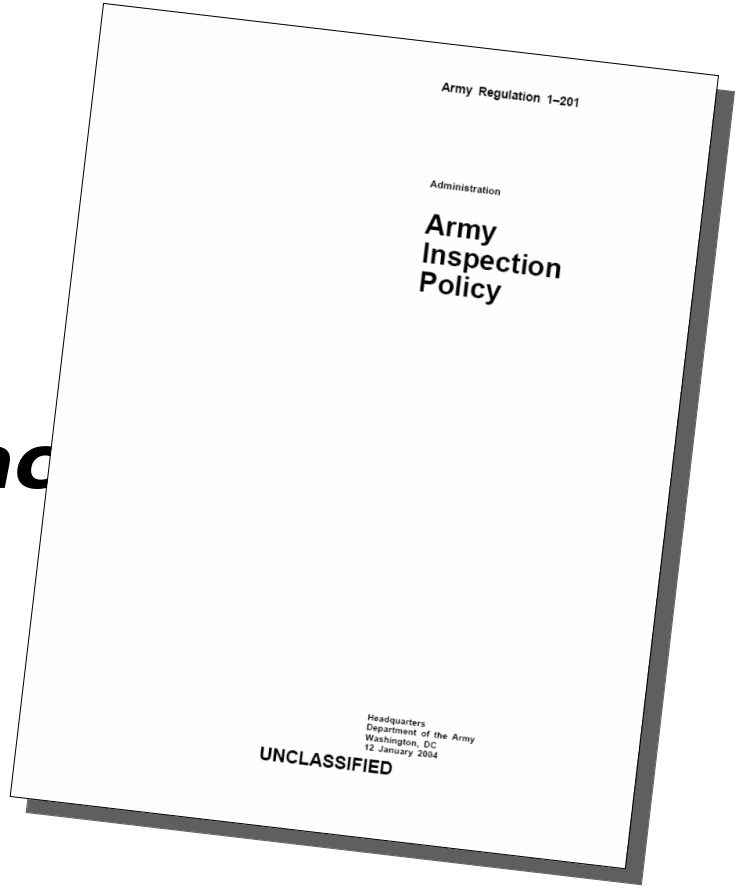
- **Identifies responsibilities**
- **Requires Commanders to designate an OIP Coordinator**
- **Defines inspection terms and concepts**
- **Outlines the Army's inspection principles**
- **Establishes the Organizational Inspection Program (OIP) -- the most important aspect of AR 1-201**

# Principles of Army Inspections

**Five Principles (AR 1-201, paragraph 2-2)**

*Inspections*

1. ***Purposeful***
2. ***Coordinated***
3. ***Focused on Feedbac***
4. ***Instructive***
5. ***Followed up***



# Principles of Army Inspections
(continued)

*Inspections*

## 1. Purposeful

**The commander approves the specific purpose of the inspection.**

- ***Related to mission accomplishment*.**
- ***Be tailored to meet the commander's needs while remaining relevant and responsive.***
- ***Be performance oriented and start with an evaluation against a standard.***

# Principles of Army Inspections
(continued)

*Inspections*

## 2. Coordinated

**To ensure the proper coordination of inspections, an annual review of all scheduled inspections should occur that answers the following three questions:**

- ***Can this inspection be canceled or combined with another inspection?***
- ***Does this inspection duplicate or complement another inspection?***
- ***Do inspection reports from other agencies or echelons of command exist that can assist in the conduct of an inspection?***

# Principles of Army Inspections
**(continued)**

*Inspections*

## 3. Focused on Feedback - Written or Verbal

- ***Inspections are critical because they provide the commander / TAG with accurate and timely feedback.***

- ***Inspection results include:***

  - ✓ ***The identification of root causes.***

  - ✓ ***The identification of strengths and weaknesses.***

# Principles of Army Inspections
(continued)

## 4. Instructive

- ***Teaching and training is an essential element of all inspections and is the overarching purpose of Staff-Assistance Visits.***

- ***No inspection is complete if the units or agencies inspected have not learned about goals and standards and how to achieve them.***

# Principles of Army Inspections
(continued)

*Inspections*

## 5. Followed up

- ***Inspections expend valuable resources and are not complete unless a unit or agency develops and executes a follow - up inspection or plan to ensure the implementation of corrective actions.***

- ***Follow-up actions can include:***

  - ✓ **Re-inspections**
  - ✓ **Telephone calls or visits to proponents to check on the progress of corrective actions**
  - ✓ **Requests for formal responses (Reply**

# Principles of Army Inspections

**Five Principles (AR 1-201, paragraph 2-2)**

1. ***Purposeful***
2. ***Coordinated***
3. ***Focused on Feedback***
4. ***Instructive***
5. ***Followed up***

# The Organizational Inspection Program (OIP)

**AR 1-201, Chapter 3**

**The Inspections Guide, Chapter 5**

*Inspections*

# The Organizational Inspection Program (OIP)

## *The Commander's plan for inspections!*

- **The OIP comprises all inspections within a unit**
- **OIP is a command responsibility and program**
- **OIP complements and reinforces other evaluations**
- **OIP minimizes the duplication of evaluations**
- **The IG is the proponent for inspection policy**
- **The G-3, S-3, or equivalent OPS agency is normally responsible for coordinating the**

# Purpose of the OIP

ELO

**To coordinate inspections and audits into a single, cohesive program focused on command objectives.**

**The OIP provides the commander with an organized management tool to identify, prevent, or eliminate problem areas.**

# Role of the IG in the OIP

ELO

*Inspections*

- **Develop the IG Inspection Program as part of t**
- **Advise commanders and staffs on inspection p**
- **Advise the commander on the OIP's effectiven**
- **Conduct IG Inspections**

**AR 20-1, paragraph 6-2**

**AR 1-201, paragraph 1-4**

# Role of the OIP Coordinator

- **Develop and maintain the written OIP for the unit or command**
- **Coordinate the execution of <u>all</u> inspection programs within the unit or command**
- **Maintain a calendar or schedule of planned inspections**
- **Serve as the executive agent for the Command Inspections (if required)**

# Review

- **Define the term Inspection?**
- **What is a Standard?**
- **What is the purpose of the OIP?**
- **What is the IG's role in the OIP?**

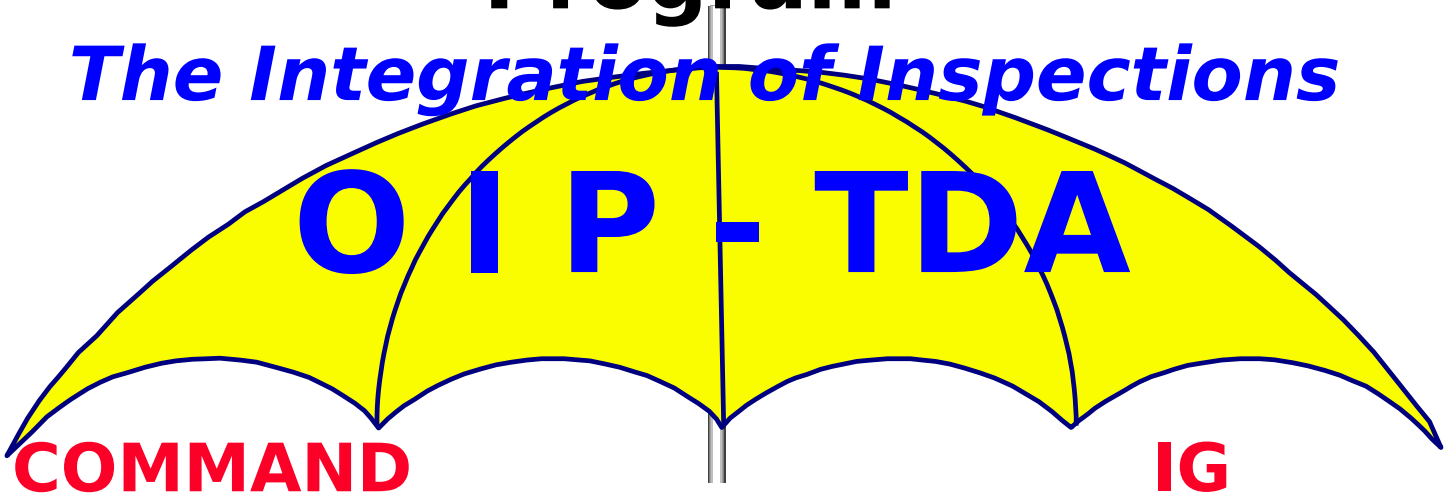
# The Organizational Inspection Program (OIP)

## *The Integration of Inspections*

**AR 1-201, paragraphs 3-2 to 3-5**
**The Inspections Guide, Chapter 5**

# The Organizational Inspection Program

***The Integration of Inspections***




**COMMAND INSPECTION**

**Garrison HHCs**

**External Inspections**

**STAFF INSPECTION**

**SAV**

**IG INSPECTION**

**Internal Inspections**

**Mgt Control, Risk Assessment**

**Small Business, Security, EEO, Force Protection, Surety**

**The Inspections Guide, Chapter 7**

# Categories of Inspections

ELO

1. Command Inspection

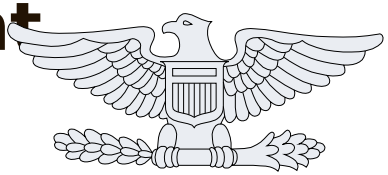
2. Staff Inspection

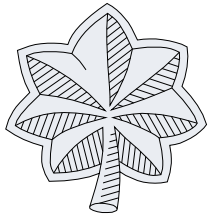
3. Inspector General Inspection

**AR 1-201, Paragraphs 3-2 to 3-5**

# Command Inspections

- **A scheduled, formal event**
- **Led by the Commander**





- **Initial Command Inspection (ICI) (company or detachment)**
- **Subsequent Command Inspection (SCI)**

**AR 1-201, Paragraphs 3-2 - 3-3**

*Inspections*

# Initial Command Inspection

ELO

- **Required for Company Commanders (or like commands: detachments, troops, batteries)**

- **Within 90 days for the Active Component**

- **Within 180 days for National Guard (NG) and U.S. Army Reserve (USA**

**The inspecting commander must be present and participating in the inspection!**

# Initial Command Inspection

**(continued)**

ELO

- **Identifies unit strengths and weaknesses**

- **Cannot be used to evaluate the Company Commander**
- **Helps commanders establis goals, standards, and prioriti**
- **Not used to compare units**
- **Only the inspected commander and that commander's rater will receive the specific results (IG can request results without unit attribution)**

# Subsequent Command Inspection

ELO

- **Measures progress and reinforces goals and objectives established in the Initial Command Inspection.**

- **The commander determines the scope, format, timing, and frequency of the Subsequent Command Inspection.**

- **The inspecting commander may use the results of the Subsequent Command Inspection to evaluate the company commander.**

**The inspecting commander must be present and participating in the inspection!**

# Staff Inspection

*Inspections*

- **Led by a staff member of a functional area.**
- **Focuses on a single functional area or a few related areas.**
- **Conducted by the lowest-level staff member technically qualified in the functional area.**
- **Should complement Command and IG Inspections.**
- **Compliance oriented.**

*Inspections*

# Staff Assistance Visits

- **Directly support Staff Inspection and Command Inspection Programs**

- **Assist, teach, and train subordinate staff sections on how to meet the required standards of a particular functional area**

- **Can prepare staff sections for upcoming inspections or train them on new concepts, technologies, or operating techniques**

# Inspector General Inspection

**Inspector General inspections should:**

- **Pursue systemic issues**
- **Identify sub-standard performance, determine the magnitude of the deficiency, and seek the reason for the deficiency (the root cause)**
- **Teach systems processes and procedures**
- **Identify responsibility for corrective actions**

# Inspector General Inspection

*Inspections*

## Who Can Direct an IG Inspection?

ELO

**Secretary of the Army (SA)**

**Chief of Staff of the Army (CSA) or Vice Chief of Staff of the Army (VCSA)**

**Inspection Directive**

**The Inspector General (TIG)**

**Commander**

# Systemic and Local Problems

***What is the difference?***

- **Systemic problems are usually widespread and present a pattern. You can often trace these problems back to a regulation, policy, or other standard that is confusing, overly ambitious, or in conflict with another standard. The proponent is usually the person to fix this type of problem.**

- **Local problems usually affect a small group of people or an individual and do not present a pattern. You can usually trace these problems back to a particular person's decision, demeanor, or statements. The level of organization that the problem affects is the best place to solve this problem.**

# Systemic and Local Problems

***What is the difference?***

*Inspections*

**Several Soldiers in Company C, 3rd Battalion, 66th Infantry, failed to receive their Basic Allowance for Subsistence (BAS) in their End-of-Month (EOM) pay.**

**Is this problem a systemic or a local problem?**

# Systemic and Local Problems

***What is the difference?***

*Inspections*

**A lieutenant recently conducted a Permanent Change of Station (PCS) from Germany to Fort Von Steuben. Sixty days have passed, and he has still not received his household goods.**

**Is this a systemic or a local problem?**

# Systemic and Local Problems

***What is the difference?***

*Inspections*

**For the past six months, 31% of the Army National Guard Soldiers mobilized to Fort Von Steuben's Power Projection Platform are found to be Dental Category 3 or 4 (Non-deployable). 24.5% of the U.S. Army Reserve Soldiers are also Dental Cat 3 / 4 upon arrival to Fort Von Steuben.**

**Is this problem a systemic or a local problem?**

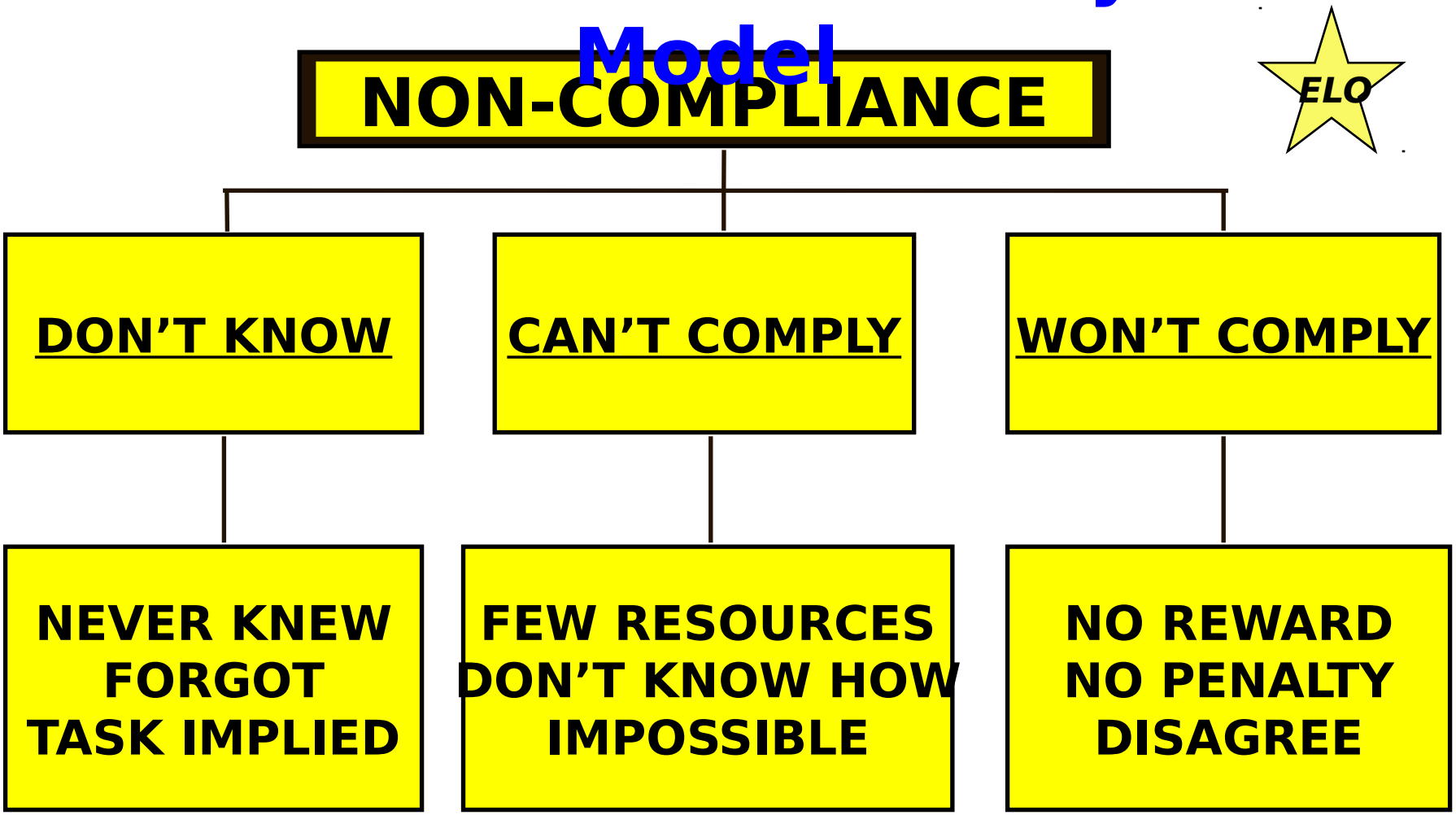
*Inspections*

# Why do units and people fail to comply with standards?

- **"That is the way we did it in my *old* unit."**
- **"I have no idea what you are talking about. I have been the S-1 for only two days."**
- **"Take a number. We have two CTC rotations, an OEF planning conference, and brigade formal in front of you."**
- **"I can't get any good help these days. I am on my butt because all of my staff officers are young lieutenants!"**

**What are some other reasons you may have already heard?**

# The Root Cause Analysis Model




**The Inspections Guide, Section 3-3, pages 3-3-1 to 3-3-4**

# Don't Know

## *Why not?*

- **Never knew** – The problem may be systemic in terms of getting guidance down to the user level.
- **Forgot** – The problem is usually a local or personal issue.
- **Task implied** – The problem could result from a lack of experience or specific guidance.

***Look for written SOPs, regulations, policies, and so on.***

# Can't Comply

## *Why not?*

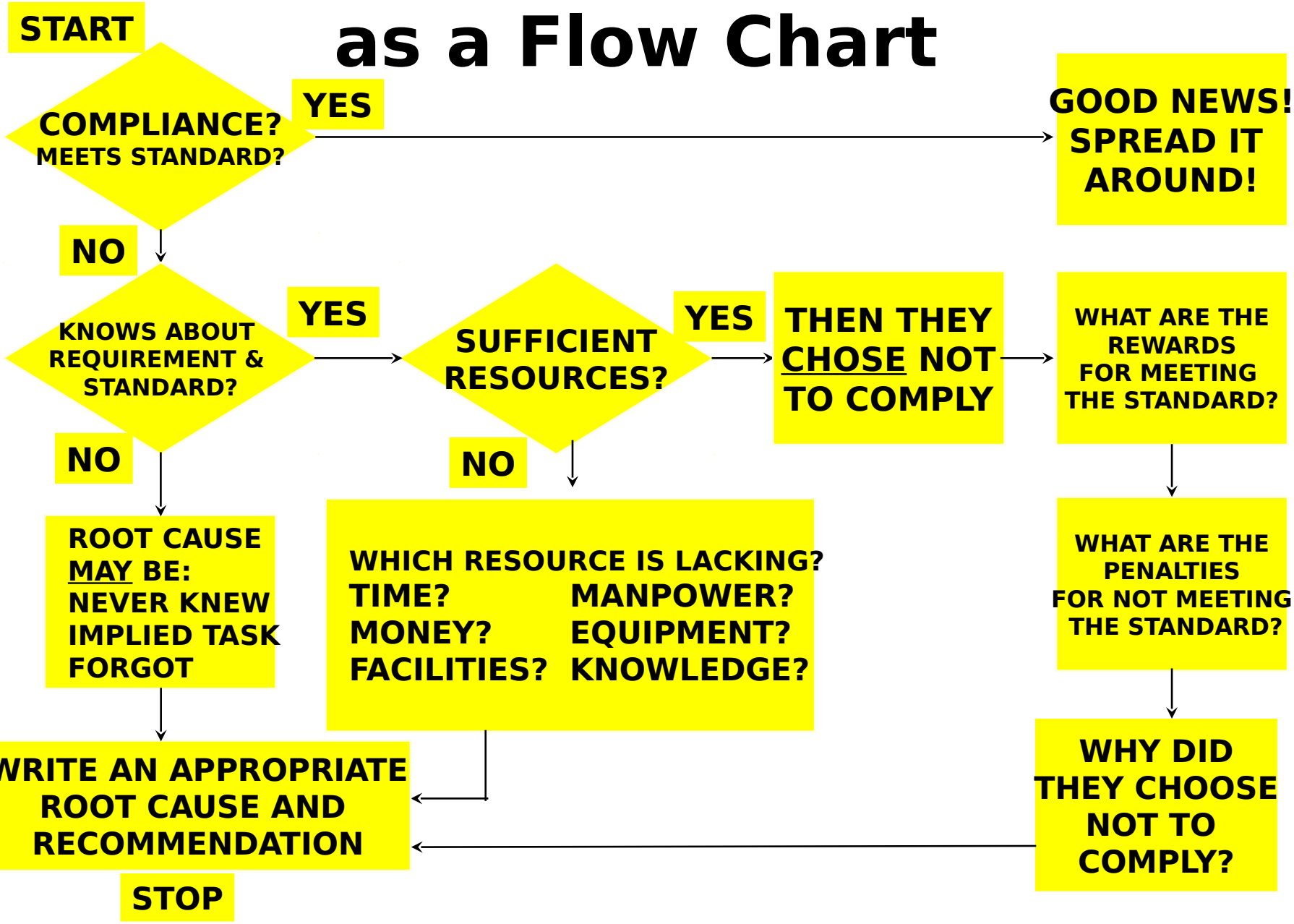
- **Scarce resources / low priority** – Always look at the big picture.
- **Don't know how** – Possibly a lack of training.
- **Impossible** – The unit or individuals may not even be able to accomplish the task.

# Won't Comply

## *Why not?*

- **No reward** – Check for incentives.
- **No penalty** – Nobody cares.
- **Disagree** – The unit or individual may be seeking an exception to policy or a change to the rules.

# Root Cause Analysis as a Flow Chart



Inspections

# Root Cause

## *Case Study 1*

- **Twenty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

Inspections

# Root Cause

## *Case Study 1*

- **Twenty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

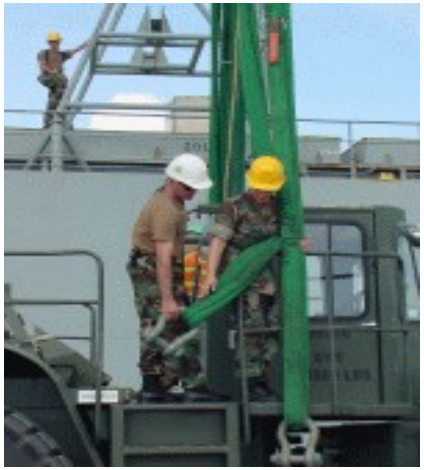
- **What is the standard?**
  - **Tighten, wipe, and observe!**
- **We have a good news story!**
- **Is a root cause applicable?**

Inspections

# Root Cause

## *Case Study 2*

- **Drivers are not conducting Preventive Maintenance Checks and Services (PMCS) to standard on their respective vehicles.**
- **Noncommissioned Officers (NCOs) are not in the motor pool to supervise the drivers during Command Maintenance due to competing requirements.**



# Root Cause

## *Case Study 2*

- **Drivers are not conducting a PMCS to standard on their respective vehicles.**
- **NCOs are not in the motor pool to supervise the drivers during Command Maintenance due to competing requirements.**

- **What is the standard?**

  → **Perform a proper PMCS on the vehicles.**

- **NCOs: Can't comply because of competing requirements.**
- **Drivers: Can't comply due to a lack of experience and knowledge.**

# Root Cause

## *Case Study 3*

- **An armor battalion's Nuclear, Biological, and Chemical (NBC) equipment is not calibrated.**

- **The unit understands the calibration requirement, but the Main Support Battalion (MSB) will not accept the job orders.**

- **The MSB does not have the required personnel and equipment to conduct calibration and does not want to suffer the down time.**

# Root Cause

## *Case Study 3*

Inspections

- **An armor battalion's NBC equipment is not calibrated.**
- **The unit understands the calibration requirement, but the Main Support Battalion (MSB) will not accept the job orders.**
- **The MSB does not have the required personnel and equipment to conduct calibration and does not want to suffer the down time.**

- **What is the standard?**

**Annual calibration of all NBC equipment**

- **Unit: Can't comply because the MSB won't accept the job orders (symptom of the MSB's root causes).**
- **MSB: Can't and won't comply due to lack of resources and the down-time penalty involved (a symptom as well).**

# Review

- **What are the three inspection categories?**
- **When are Initial Command Inspection – Active, NG, USAR -- required?**
- **Explain the reason for non-compliance using the Root Cause Analysis Model.**

# Types of Inspections

- **General Inspection. These inspections are broad in scope, oriented on units, and designed to look at all aspects of the organization. (Used to be called compliance inspections)**
- **Special Inspection. These inspections are focused on specific functions, programs, procedures, problems, or issues; these inspections also look at groups of related problems or procedures. The special inspection facilitates the systemic approach to an inspection and is the preferred type of IG Inspection.**
- **Follow - up Inspection. These inspections review the effectiveness of corrective actions taken as a result of a previous inspection.**

**The Inspections Guide, Section 2-2, pages 2-2-2 to 2-2-3**

# O I P

| COMMAND INSPECTION | STAFF INSPECTION | IG INSPECTION |
|---|---|---|
| General | General | Special |
| Special | Special | Follow – up |
| Follow – up | Follow - up | General |

**All three inspection categories can contain the three types of inspections.**

# OIP: Battalion

*Inspections*

ELO

## The battalion is the basic building block of the OIP

- **The Battalion OIP normally includes Command Inspections (Initial and Subsequent) and Staff Inspections**
- **The Battalion OIP focuses on areas that immediately impact on readiness and that reinforce goals and standards**
- **Teaching and training is a goal of company-level Command Inspections**

**AR 1-201, Paragraph 3.2. c**

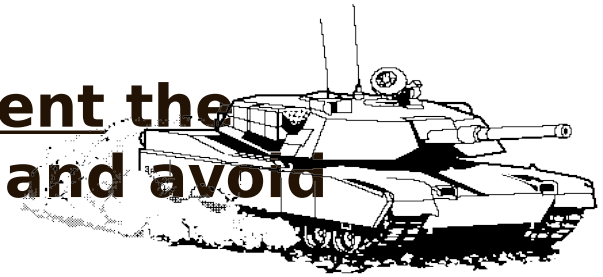
# OIP: Brigade

- **The Brigade OIP normally includes Command Inspections, Staff Inspections, and Staff Assistance Visits**

- **The Brigade OIP focuses on units and functional areas**

- **The Brigade OIP should include inspections of the brigade headquarters company**

- **The Brigade OIP must complement the battalion commanders' programs and avoid redundancy**



# OIP: Division

*Inspections*

- **The Division OIP consists primarily of Staff and IG Inspections**
- **At a minimum, the Division OIP should:**
  - **Establish a plan to check the OIP's effectiveness (an IG role)**
  - **Protect subordinate commanders from constant inspections**

# Developing an OIP

- **Your unit or command's OIP will normally exist in the form of a local regulation or memorandum.**

- **The OIP document should list responsibilities for staff members and subordinate commanders and designate an overall OIP Coordinator.**

**The Inspections Guide, Chapter 5**

# Developing an OIP
**(continued)**

- **The OIP document should articulate the commander's overall inspection guidance.**

- **The OIP document should address the relevant categories of inspections (Command, Staff, and IG) – as they pertain to the command – by frequency, focus, and so on.**

# Developing an OIP
**(continued)**

- **The OIP document should address Intelligence Oversight within the unit or command (division and above only).**

- **The OIP document must capture all inspections that affect the command and then prioritize them – or eliminate some of them!**

- **The OIP document should establish the scope and standards for the different types of inspections.**

# Developing an OIP
**(continued)**

- **Use IG technical channels to share inspection standards and objectives.**

- **The OIP document should address the Army's Management Control Evaluation Process. (AR 20-1, paragraph 1-4, b (7) a, b – and Appendix B; AR 11-2)**

*Inspections*

# The IG Inspection Selection Process

## The Inspections Guide, Section 3-4

U.S. Army Inspector

# The IG Inspection Selection Process

- **The IG must know the Commander**
- **The IG must attend relevant staff meetings and listen in on key topics of discussion**
- **The IG must keep up with all of his or her commander's current policies and philosophies**
- **The IG must be a visible and participating member of the command**

*Inspections*

# The IG Inspection Selection Process

## *How do you build an Inspection Priority List?*

**The IG must be aware of the commander's guidance and trends within the command.**

- **Review the IG Database for trends**
- **Review the Annual Training Guidance**
- **Review Local Command Policy and Goals**
- **Know the Command Vision**
- **Review DAIG and higher headquarters' inspection priorities**
- **Study pertinent issues in Unit Status Reports or Strategic Readiness System (SRS)**

Inspections

# The IG Inspection Selection Process

***Analyze your information for its . . .***

- **Impact on Unit Readin**
- **Value to the Commanc**
- **Priority to the Comma**

*Inspections*

# The IG Inspection Selection Process

## *Develop a prioritized list*

- **List the inspection topics by priority**
- **Develop at least four key inspection topics for the fiscal year (one topic per quarter)**
- **Explain to the commander how and why these inspections will contribute to unit readiness**

**For example,**

1. **OIP (1st Quarter)**
2. **Risk Management (2nd Quarter)**
3. **Force Protection (3rd Quarter)**
4. **PERSTEMPO Reporting (4th Quarter)**

# The Inspection Selection Process

***Generate a list for your Commander's approval***

DETERMINE COMMANDER'S PRIORITIES

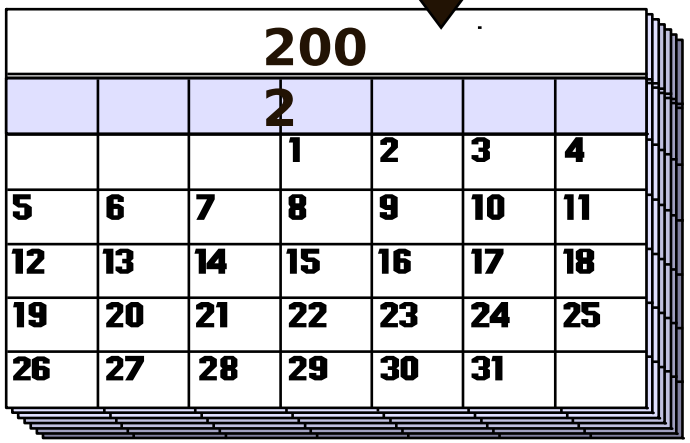
CONSIDER THE COMMANDER'S GUIDANCE AND CURRENT TRENDS

ANALYZE THE INFORMATION

**DEVELOP THE LIST**

1. OIP
2. Risk Management
3. Force Protection
4. PERSTEMPO Reporting

**COMMANDER APPROVES LIST**




**INSPECTION LIST PUBLISHED**

# Inspections Review

*Inspections*

- **Define the term inspection?**
- **What is a standard?**
- **What is the purpose of the OIP?**
- **What is the IG's role in the OIP?**
- **What are the three inspection categories?**
- **When are Initial Command Inspections required?**
- **What are the three reasons for non-compliance?**
- **What size unit serves as the basic building block of the OIP?**